

UP-2161 #5 BT 11-07-01

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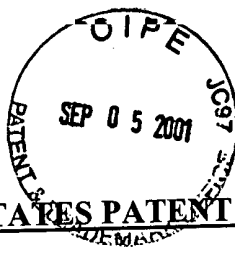
TRANSMITTAL FORM <i>(to be used for all correspondence after initial filing)</i>	Application Number	09/780,964
	Filing Date	02/09/01
	First Named Inventor	Gregory D'Amico et al.
	Group Art Unit	2161
	Examiner Name	Nga B. Nguyen
Total Number of Pages in This Submission	Attorney Docket Number	14104/198998

ENCLOSURES (check all that apply)		
<input type="checkbox"/> Fee Transmittal Form <input type="checkbox"/> Fee Attached <input type="checkbox"/> Amendment / Reply <input type="checkbox"/> After Final <input type="checkbox"/> Affidavits/declaration(s) <input type="checkbox"/> Extension of Time Request <input type="checkbox"/> Express Abandonment Request <input checked="" type="checkbox"/> Information Disclosure Statement <input type="checkbox"/> Certified Copy of Priority Document(s) <input type="checkbox"/> Response to Missing Parts/Incomplete Application <input type="checkbox"/> Response to Missing Parts under 37 CFR 1.52 or 1.53	<input type="checkbox"/> Assignment Papers (for an Application) <input type="checkbox"/> Drawing(s) <input type="checkbox"/> Licensing-related Papers <input type="checkbox"/> Petition <input type="checkbox"/> Petition to Convert to a Provisional Application <input type="checkbox"/> Power of Attorney, Revocation Change of Correspondence Address <input type="checkbox"/> Terminal Disclaimer <input type="checkbox"/> Request for Refund <input type="checkbox"/> CD, Number of CD(s) _____	<input type="checkbox"/> After Allowance Communication to Group <input type="checkbox"/> Appeal Communication to Board of Appeals and Interferences <input type="checkbox"/> Appeal Communication to Group (Appeal Notice, Brief, Reply Brief) <input type="checkbox"/> Proprietary Information <input type="checkbox"/> Status Letter <input type="checkbox"/> Other Enclosure(s) (please identify below):
Remarks		

SIGNATURE OF APPLICANT, ATTORNEY, OR AGENT	
Firm or Individual name	Michael K. Dixon, Reg. No. 46,665 KILPATRICK STOCKTON LLP
Signature	
Date	08/30/01

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IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

APPLICANT: D'Amico et al.

SERIAL NO.: 09/780,964

ART UNIT: 2161

FILED: February 9, 2001

EXAMINER: Nga B. Nguyen

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FOR: PARTICIPANT CONTROLLED MUTUAL FUND

ATTORNEY DOCKET NO.: 14104/198998

Assistant Commissioner for Patents
Washington, D.C. 20231

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Janie Wilkins
DATE: August 30, 2001

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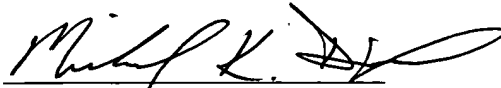
In accordance with Rules 56, 97 and 98 of the Rules of Practice in Patent Cases (37 C.F.R. §§1.56, 1.97 and 1.98), enclosed are copies of the materials listed on the accompanying Form PTO 1449 for consideration by the Examiner. None of these references is conceded to be prior art within the meaning of U.S. patent laws.

This Information Disclosure Statement is being filed before mailing of a first office action on the merits of the application (37 C.F.R. §1.97(b)(3)); therefore, no fee is believed to be due. However, if a first Office Action on the merits has issued, please consider this Information Disclosure Statement under 37 C.F.R. 1.97(c). The Commissioner

Serial No.: 09/780,964
Filed: February 9, 2001
Supplemental Information Disclosure Statement

is authorized to charge any additional fees that may be due in connection with the filing of
this paper or credit any overpayment to deposit account 11-0855.

Respectfully submitted,



Michael K. Dixon
Registration No. 46,665

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Sheet 1 of 1

Application Number	09/780,964
Filing Date	02/09/01
First Named Inventor	Gregory D'Amico et al.
Group Art Unit	2161
Examiner Name	Nga B. Nguyen
Attorney Docket Number	14104/198998

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¹ Unique citation designation number. ² See attached Kinds of U.S. Patent Documents. ³ Enter Office that issued the document, by the two-letter code (WIPO Standard ST.3). ⁴ For Japanese patent documents, the indication of the year of the reign of the Emperor must precede the serial number of the patent document. ⁵ Kind of document by the appropriate symbols as indicated on the document under WIPO Standard ST. 16 if possible. ⁶ Applicant is to place a check mark here if English language Translation is attached.

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Substitute for form 1449B/PTO

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Group Art Unit	2161
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OTHER PRIOR ART -- NON PATENT LITERATURE DOCUMENTS

Examiner Initials'	Cite No. ¹	Include name of the author (in CAPITAL LETTERS), title of the article (when appropriate), title of the item (book, magazine, journal, serial, symposium, catalog, etc.), date, page(s), volume-issue number(s), publisher, city and/or country where published.	T ²
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